

1457 Rec'd PCT/PTO 28 FEB 2006

MAIL STOP PCT

Attorney Docket No. 26602U

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

IVANOVA et al.

International Application No. PCT/EP2003/009291

Serial No. 10/524,818

International Filing Date: 21 August 2003 (21.08.2003)

Filed: February 18, 2005

Title: **INDUCIBLE ALPHAVIRAL/ORIP BASED GENE EXPRESSION SYSTEM**

**TRANSMITTAL LETTER**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- (1) Transmittal Letter;
- (2) Information Disclosure Statement;
- (3) PTO Form 1449 citing 126 references;
- (4) Copies of 120 of the 126 cited references.

The Commissioner is hereby authorized to charge any deficiency or credit any excess to Deposit Account No. 14-0112.

Respectfully submitted,

**NATH & ASSOCIATES PLLC**

By: 

Gary M. Nath  
Registration No. 26,965  
Tanya E. Harkins  
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Customer No. 20529

Date: February 28, 2006  
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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

An Information Disclosure Statement is submitted herewith pursuant to 37 C.F.R. 1.97-1.98. Please note the following particulars: [NOTE: One only of items a, b, c, and d must be checked.]

- [XXX] a. The enclosed statement is being filed within three months of the filing date of a national application, or within three months of the date of entry into the national stage as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing date of a first Office Action on the merits, whichever event occurs last.
- [ ] b. The enclosed statement is being filed after a first action on the merits but before the mailing date of a final action under 37 C.F.R. 1.113, or a notice of allowance under 37 C.F.R. 1.311.  
The enclosed statement is accompanied by [check one]:  
[ ] i. a certification in part (e) below as specified in 37 C.F.R. 1.97(e), or  
[ ] ii. a check in the amount required by 37 C.F.R. 1.17(p).
- [ ] c. The enclosed statement is being filed after the mailing date of a final action under 37 C.F.R. 1.113, or a notice of allowance under 37 C.F.R. 1.311, but before payment of the issue fee.  
[ ] Certification report(e) below; and  
[ ] a check in the amount as required by 1.17(p).

[ ] d. The enclosed statement is being filed pursuant to 37 C.F.R. 1.97(i), for placement in the file.

[ ] e. Certification [Check one] [Certification is required only if box (b)(i) or box (c) is checked.]

[ ] I hereby certify that each item of information contained in the enclosed Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement,  
or

[ ] I hereby certify that no item of information in the enclosed Information Disclosure Statement herewith was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

or

[ ] Appropriate certification is attached.

[XXX] f. If no check is enclosed and a fee is due in connection with this communication or if the check enclosed is insufficient, the Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 14-0112.

[XXX] g. Copies of the documents are attached herewith with a completed Form PTO-1449.

or

[ ] Copies of the documents are not attached as allowed under CFR 1.98(d)(1)(2). The earlier application is identified as:

and / or

[XXX] Copies of US Patents/Publications not attached as allowed in Official Gazette Aug. 5, 2003/ Vol. 1273, no. 1.

The Examiner is respectfully requested to cite the documents listed on the attached Form PTO-1449 in the next Office Action. In so doing, the Examiner is respectfully requested to initial in the space adjacent to the listing of each document on the Form PTO-1449, and return a copy of the initialed Form PTO-1449 with the next communication to Applicants, to confirm that these documents have been considered by the Examiner and made of record in this application.

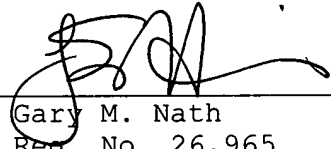
If the Examiner has any questions or wishes to discuss this application, kindly telephone the undersigned at the below-listed number.

Respectfully submitted,  
**NATH & ASSOCIATES PLLC**

Date: February 28 2006

**NATH & ASSOCIATES PLLC**  
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Fax: (703) 683 8396

By: \_\_\_\_\_

  
Gary M. Nath  
Reg. No. 26,965  
Tanya E. Harkins  
Reg. No. 52,993  
Customer No. 20529

FORM PTO-1449  
INFORMATION DISCLOSURE STATEMENT

Atty. Docket No. 26602U

APPLICATION NO.  
10/524,818

Inventor: IVANOVA et al.

Filing Date: February 18, 2005

ART UNIT  
Unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	Issue/ Pub date	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	4,686,186	08/11/1987	Sugden			09/26/1984
	AB1	5,091,309	02/25/1992	Schlesinger et al.			08/17/1989
	AC1	5,217,879	06/08/1993	Huang et al.			12/27/1991
	AD1	5,580,859	12/03/1996	Felgner et al.			03/18/1994
	AE1	5,705,163	01/06/1998	Pastan et al.			06/05/1995
	AF11	6,410,314	06/25/2002	Baiker et al.			10/05/1999
	AG1						
	AH1						
	AI1						
	AJ1						
	AK1						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	Issue/Pub Date	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1	94/17813 A1	18 Aug. 1994	WO			N/A
	AM1	0 716 148 A2	12 Jun. 1996	EP			N/A
	AN1	0716 148 A3	12 Jun. 1996	EP			N/A
	AO1	96/17072 A2	6 Jun. 1996	WO			N/A
	AP1	97/46687 A1	11 Dec. 1997	WO			N/A
	AQ1	98/13511 A1	2 Apr. 1998	WO			N/A

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR		
	AS		
	AT		

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

**FORM PTO-1449**  
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	AA2						
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	AC2						
	AD2						
	AE2						
	AF2						
	AG2						
	AH2						
	AI22						
	AJ2						
	AK2						

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	Issue/Pub Date	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL2	98/36779 A2	27 Aug 1998	WO			N/A
	AM2	99/50432 A1	7 Oct. 1999	WO			N/A
	AN2	2004/053137 A2	24 Jun. 2004	WO			N/A
	AO2						
	AP2						

**OTHER (Including Author, Title, Date, Pertinent Pages, etc.)**

	AR2		
	AS2		
	AT2		

EXAMINER	DATE CONSIDERED
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Substitute for form 1449/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)				Application Number	10/524,818
				Filing Date	February 18, 2005
				First Named Inventor	IVANOVA et al.
				Art Unit	Unknown
				Examiner Name	Unknown
Sheet	1	of	12	Attorney Docket Number	26602U

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume number, publisher, city and/or country where published	T <sup>2</sup>
	NPL1	Agapov, E.V., et al., "Noncytopathic Sindbis virus RNA vectors for heterologous gene expression," <i>Proc Natl. Acad. Sci.</i> 95:12989-12994, (1998)	
	NPL2	Anderson, W.F., et al., "Human gene therapy," <i>Nature</i> 392:25-30, (1998)	
	NPL3	Berglund, P., et al., "Alphaviruses as vectors for gene delivery," <i>Trends Biotechnol.</i> 14:130-134, Elsevier Science (1996)	
	NPL4	Blasey, H.D., et al., "Mammalian transient gene expression-potential, practical application and perspectives in: <i>Animal Cell Technology</i> , pp331-337, Kluwer Academic Publishers (1999)	
	NPL5	Bode, J., et al., "The Hitchhiking Principle: Optimizing episomal vectors for the use in gene therapy and biotechnology," <i>Gene Ther Mol Biol</i> 6:33-46, (2001)	
	NPL6	Bohl, D., et al., "Long-term control of erythropoietin secretion by doxycycline in mice transplanted with engineered primary myoblasts," <i>Nat. Med.</i> 3:299, (1997)	
	NPL7	Boorsma, M., et al., "A temperature-regulated replicon-based DNA expression system," <i>Nature Biotech.</i> 18:429-432, Nature America Inc. (2000)	
	NPL8	Boorsma, M., et al., "Alphavirus cDNA-based expression vectors: effects of RNA transcription and nuclear export," <i>Biotechnol Bioeng.</i> 5;81(5):553-62, Wiley Periodicals Inc. (2003)	
	NPL9	Bredenbeek, P.J., et al., "Sindbis virus expression vectors: packaging of RNA replicons by using defective helper RNAs," <i>J. Virol.</i> 67:6439-6446, American Society for Microbiology (1993)	
	NPL10	Brown, J.W., "The ribonuclease P database," <i>Nucleic Acids Res.</i> 26:351-2, Oxford University Press (1998)	

Examiner Signature		Date considered	
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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	NPL11	Burge, B.W., and Pfefferkorn, E.R., "Complementation between temperature-sensitive mutants of Sindbis virus," <i>Virology</i> 30:214-223, (1966)	
	NPL12	Burge, B.W., and Pfefferkorn, E.R., "Isolation and characterization of conditional-lethal mutants of Sindbis virus," <i>Virology</i> 30:204-213, (1966)	
	NPL13	Caley, I.J., et al. "Humoral, mucosal, and cellular immunity in response to a human immunodeficiency virus type 1 immunogen expressed by a Venezuelan equine encephalitis virus vaccine vector," <i>Journal of Virology</i> 71:3031-3038, American Society for Microbiology (1997)	
	NPL14	Chapman, K.B., and Szostak, J.W., "Isolation of a ribozyme with 5'-5' ligase activity," <i>Chem. Biol.</i> 2:325-333, Current Biology Ltd. (1995)	
	NPL15	Chomczynski P., and Sacchi, N., "Single-step method of RNA isolation by acid guanidinium thiocyanate-phenol-chloroform extraction," <i>Anal. Biochem.</i> 162:156-159, Academic Press (1987)	
	NPL16	Clark, H.F., et al., "Comparative characterization of a C-type virus-producing cell line (VSW) and a virus-free cell line (VH2) from Vipera russelli," <i>J. Natl. Cancer Inst.</i> 51:645, (1973)	
	NPL17	Davis, N.L., et al. "A viral vaccine vector that expresses foreign genes in lymph nodes and protects against mucosal challenge," <i>Journal of Virology</i> 70:3781-3787, American Society for Microbiology (1996)	
	NPL18	Davis, N.L., et al., "In vitro synthesis of infectious venezuelan equine encephalitis virus RNA from a cDNA clone: analysis of a viable deletion mutant," <i>Virology</i> 171:189-204, Academic Press (1989)	
	NPL19	Dé, I., et al. "Sindbis Virus RNA-Negative Mutants that fail to convert from Minus-strand to Plus-strand Synthesis: Role of the nsP2 Protein," <i>Journal of Virology</i> 70:2706-2719, American Society for Microbiology (1996)	
	NPL20	DiCiommo, D.P., and Bremner, R., "Rapid, high level protein production using DNA-based Semliki Forest virus vectors," <i>Journal of Biological Chemistry</i> 273:18060-18066, American Society for Biochemistry and Molecular Biology inc. (1998)	

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	NPL21	Doedens, J., <i>et al.</i> , "Inhibition of endoplasmic reticulum-to-Golgi traffic by poliovirus protein 3A: genetic and ultrastructural analysis," <i>J. Virol.</i> 71:9054-9064, American Society for Microbiology (1997)	
	NPL22	Dryga, S.A., <i>et al.</i> , "Identification of mutations in a Sindbis virus variant able to establish persistent infection in BHK cells: the importance of a mutation in the nsP2 gene," <i>Virology</i> 228:74-83, Academic Press (1997)	
	NPL23	Dubensky, T.W., <i>et al.</i> , "Sindbis virus DNA-based expression vectors: utility for in vitro and in vivo gene transfer," <i>J. Virol.</i> 70:508-519, American Society for Microbiology (1996)	
	NPL24	Durocher, Y., <i>et al.</i> , "High-level and high-throughput recombinant protein production by transient transfection of suspension-growing human 293-EBNA1 cells," <i>Nucleic Acids Res</i> 30(2):E9, Oxford University Press (2002)	
	NPL25	Frolov, I., <i>et al.</i> , "Alphavirus-based expression vectors: strategies and applications," <i>Proc Natl. Acad. Sci.</i> 93:11371-11377, (1996)	
	NPL26	Früh, K., <i>et al.</i> , "Displacement of housekeeping proteasome subunits by MHC-encoded LMPs: a newly discovered mechanism for modulating the multicatalytic proteinase complex," <i>EMBO J.</i> 13:3236, Oxford University Press (1994)	
	NPL27	Furth, P.A., <i>et al.</i> , "Temporal control of gene expression in transgenic mice by a tetracycline-responsive promoter," <i>Proc. Natl. Acad. Sci. USA</i> 91:9302, (1994)	
	NPL28	Garoff, H., and Li, K.J., "Recent advances in gene expression using alphavirus vectors," <i>Curr. Opin. Biotechnol.</i> 9(5):464-469, Current Biology Ltd. (1998)	
	NPL29	Gossen, M., and Bujard, H., "Tight control of gene expression in mammalian cells by tetracycline-responsive promoter," <i>Proc. Natl. Acad. Sci. USA</i> 89:5547-51, (1992)	
	NPL30	Grignani, F., <i>et al.</i> , "High-efficiency gene transfer and selection of human hematopoietic progenitor cells with a hybrid EBV/retroviral vector expressing the green fluorescence protein," <i>Cancer Res</i> 58(1):14-9, (1998)	

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Sheet	4	of	12	Attorney Docket Number	26602U

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume number, publisher, city and/or country where published	T <sup>2</sup>
	NPL31	Hahn, Y.S., <i>et al.</i> "Mapping of RNA- temperature-sensitive mutants of Sindbis virus: assignment of complementation groups A, B, and G to nonstructural proteins," <i>Journal of Virology</i> 63:3142-3150, American Society for Microbiology (1989)	
	NPL32	Hahn, Y.S., <i>et al.</i> "Mapping of RNA- temperature-sensitive mutants of Sindbis virus: complementation group F mutants have lesions in nsP4," <i>Journal of Virology</i> 63:1194-1202, American Society for Microbiology (1989)	
	NPL33	Hardy, W.R., <i>et al.</i> "Synthesis and processing of the nonstructural polyproteins of several temperature-sensitive mutants of Sindbis virus," <i>Virology</i> 177:199-208, Academic Press (1990)	
	NPL34	Hearne, A.M., <i>et al.</i> "Isolation and preliminary characterization of Semliki Forest virus mutants with altered pathogenicity for mouse embryos," <i>J. Gen. Virol</i> 68:107-113, (1987)	
	NPL35	Hennighausen, L., <i>et al.</i> , "Conditional gene expression in secretory tissues and skin of transgenic mice using the MMTV-LTR and the tetracycline responsive system," <i>J. Cell. Biochem.</i> 59:463, Wiley-Liss Inc.(1995)	
	NPL36	Herweijer, H., <i>et al.</i> , "A plasmid-based self-amplifying Sindbis virus vector," <i>Hum. Gene Ther.</i> 6:1495-1501, Mary Ann Liebert Inc. (1995)	
	NPL37	Hoffmann, A., <i>et al.</i> , "A novel tetracycline-dependent expression vector with low basal expression and potent regulatory properties in various mammalian cell lines," <i>Nucleic Acids Res.</i> 25:1078, Oxford University Press (1997)	
	NPL38	Howe, J.R., <i>et al.</i> , "The responsiveness of a tetracycline-sensitive expression system differs in different cell lines," <i>J. Biol. Chem.</i> 23:14168, The American Society for Biochemistry and Molecular Biology Inc. (1995)	
	NPL39	Jankelevich, S., <i>et al.</i> "A nuclear matrix attachment region organizes the Epstein-Barr viral plasmid in Raji cells into a single DNA domain," <i>EMO Journal</i> 11(3):1165-1176, Oxford University Press (1992)	
	NPL40	Jordan, M., <i>et al.</i> , "Calcium-phosphate mediated DNA transfer into HEK-239 cells in suspension: control of physicochemical parameters allows transfection in stirred media," <i>Cytotechnology</i> 26:39-47, Kluwer Academic Publishers (1998)	

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	NPL41	Juhasz, K., <i>et al.</i> "The two amino acid substitutions in the L protein of cpts530/1009, a live-attenuated respiratory syncytial virus candidate vaccine, are independent temperature-sensitive and attenuation mutations," <i>Vaccine</i> 17:1416-1424, Elsevier Science (1999)	
	NPL42	Keränen, S., and Kääriäinen, L., "Isolation and basic characterization of temperature-sensitive mutants from Semliki Forest virus," <i>Acta path. Microbiol. Scand. Sect. B</i> 82:810-820, (1974)	
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				First Named Inventor	IVANOVA et al.
				Art Unit	Unknown
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	NPL51	Lee, A.H., <i>et al.</i> , "Comparison of various expression plasmids for the induction of immune response by DNA immunization," <i>Molecules and Cells</i> . 7:495-501, The Korean Society for Molecular Biology (1997)	
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	NPL73	Rikkonen, M., "Functional significance of the nuclear-targeting and NTP-binding motifs of Semliki Forest virus nonstructural protein nsP2," <i>Virology</i> 218:352-361, (1996)	
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	NPL81	Schwer, B., et al., "Effects of deletion mutations in the yeast Ces1 protein on cell growth and morphology and on high copy suppression of mutations in mRNA capping enzyme and translation initiation factor 4A," <i>Nucleic Acids Res.</i> 26:803-809, Oxford University Press (1998)	
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	NPL87	Shockett, P.E., and Schatz, D.G., "Diverse strategies for tetracycline-regulated inducible gene expression," <i>Proc. Natl. Acad. Sci. USA</i> 93:5173, (1996)	
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	NPL90	Stappert, J., "Methods for generating multiple site-directed mutations in vitro," <i>PCR Technology</i> 9:59-67, CRC Press (1994)	

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	NPL91	Strauss, J.H., and Strauss, E.G., "The alphaviruses: gene expression, replication, and evolution," <i>Microbiol. Rev.</i> 58:491-562, American Society for Microbiology (1994)	
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	NPL107	Xiong, C., <i>et al.</i> , "Sindbis virus: an efficient, broad host range vector for gene expression in animal cells," <i>Science</i> 243:1188-1191, The American Association for the Advancement of Science (1989)	
	NPL108	Yates, J. L., <i>et al.</i> , "Stable replication of plasmids derived from Epstein-Barr virus in various mammalian cells," <i>Nature</i> 313:812-815, (1985)	
	NPL109	Yunker, D.R., and Sawicki, S.G., "Negative strand RNA synthesis by temperature-sensitive mutants of mouse hepatitis virus," <i>Adv Exp Med Biol.</i> 440:221-6, Plenum Press (1998)	
	NPL110	Yu, H., <i>et al.</i> , "Inducible human immunodeficiency virus type 1 packaging cell lines," <i>J. Virol.</i> 70:4530-4537, American Society for Microbiology (1996)	

Examiner Signature		Date considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/524,818
				Filing Date	February 18, 2005
				First Named Inventor	IVANOVA et al.
				Art Unit	Unknown
Examiner Name	Unknown				
Sheet	12	of	12	Attorney Docket Number	26602U

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume number, publisher, city and/or country where published	T <sup>2</sup>
	NPL111	Zang, M., <i>et al.</i> , "Production of recombinant proteins in Chinese hamster ovary cells using a protein-free cell culture medium," <i>Bio/Technology</i> 13:389-92, (1995)	
	NPL112		
	NPL113		
	NPL114		
	NPL115		
	NPL116		
	NPL117		
	NPL118		
	NPL119		
	NPL120		

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